

FRATERNAL SOCIETIES

COMPANY NAME: _____ NAIC Company Code: _____
 Contact: _____ Telephone: _____
 REQUIRED FILINGS IN THE STATE OF: Alabama Filings Made During the Year 2004

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2"x14")	1	1	1	3/1	NAIC	B
	1.1	Printed Investment Schedule detail (Pages E01-E25)	1	1	xxx	3/1	NAIC	B
	2	Quarterly Financial Statement (8 1/2" x 14")	1	1	xxx	5/15, 8/15, 11/15	NAIC	O
	3	Separate Accounts Annual Statement (8 1/2"x 14")	1	1	xxx	3/1	NAIC	B
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	1	1	xxx	4/1	NAIC	O
	11	Interest Sensitive Life Insurance Products Report	1	1	xxx	4/1	NAIC	O
	12	Investment Risk Interrogatories	1	1	xxx	4/1	NAIC	O
	13	Long Term Care Experience Reporting Forms	1	1	xxx	4/1	NAIC	O
	14	Management Discussion & Analysis	1	1	N/A	4/1	Company	O
	15	Medicare Supplement Insurance Experience Exhibit	1	1	xxx	3/1	NAIC	B,O
	16	Risk-Based Capital Report	1	1	xxx	3/1	NAIC	B
	17	Statement of Actuarial Opinion	1	1	1	3/1	Company	B
	18	Statement on non-guaranteed elements – Exhibit 5 Interr. #3	1	1	xxx	3/1	Company	B,O
	19	Statement on participating/non-participating policies – Exhibit 5, Interr. #1	1	1	xxx	3/1		B,O
	20	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	B,O
	21	Supplement to Valuation Report	1	1	xxx	6/30	NAIC	O
	22	SVO Compliance Certification	1	1	1	3/1, 5/15, 8/15, 11/15; Foreign 3/1 Only	NAIC	Q
	23	Trusted Surplus Statement	1	1	xxx	3/1, 5/15, 8/15, 11/15	NAIC	B
		III. ELECTRONIC FILING REQUIREMENTS						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	31	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	32	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
	33	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	NAIC	
	34	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	35	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	36	Quarterly Statement Electronic Filing	xxx	1	xxx	5/15, 8/15 & 11/15	NAIC	
	37	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15 & 11/15		
	38	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						
	51	Accountants Letter of Qualifications	1	N/A	N/A		Company	O
	52	Audited Financial Statements	1	1	N/A	6/1	Company	O
	53	Audited Financial Statements Exemption Affidavit	1	N/A	N/A		Company	O
	54	Independent CPA	1	N/A	N/A		Company	O
	55	Notification of Adverse Financial Condition	1	N/A	N/A		Company	O
	56	Report of Significant Deficiencies in Internal Controls	1	N/A	N/A		Company	O
	57	Request for Exemption to File	1	N/A	N/A		Company	J,O
		V. STATE REQUIRED FILINGS						
	101	Certificate of Compliance	0	0	1	3/1	State	B
	102	Certificate of Deposit	0	0	1	3/1	State	B
	103	Certificate of Valuation	0	0	1	3/1	State	B
	104	Filings Checklist (with Column 1 completed)	1	1	1	3/1	State	B
	105	Premium tax	0	0	0		State	D
	106	State Filing Fees	1	0	1	3/1	State	C
	107	Affidavit of Filing	0	0	0		State	L
	108	Application for Renewal	1	0	1	3/1	State	B
	109	Official List	1	0	1	3/1	State	B

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	<p>Required Filings Contact Person: Ann Strickland, Examiner Belinda Williams, Examiner (334) 241-4154 (334) 241-4162</p>	
	B	<p>Mailing Address: <u>Postal Service:</u> Alabama Department of Insurance c/o Compass Bank P. O. Box 830691 Birmingham, AL 35283-0691</p> <p><u>Courier Service:</u> Alabama Department of Insurance c/o Compass Bank 701 South 32nd Street Birmingham, AL 35233</p>	
	C	<p>Mailing Address for Filing Fees: The \$150.00 Audit & Examination Fees and completed Transmittal Forms should be mailed to:</p> <p><u>Postal Service:</u> Alabama Department of Insurance c/o Compass Bank P. O. Box 830707 Birmingham, AL 35283-0707</p> <p>The \$55.00 Certificate of Authority renewal fee and \$25.00 annual statement filing fee should be attached to the completed Fees Return and mailed to:</p> <p><u>Postal Service:</u> Alabama Department of Insurance c/o Compass Bank P. O. Box 830691 Birmingham, AL 35283-0691</p> <p><u>Courier Service:</u> Alabama Department of Insurance c/o Compass Bank 701 South 32nd Street Birmingham, AL 35233</p>	
	D	<p>Mailing Address for Premium Tax Payments:</p> <p>Fraternal are exempt from premium tax.</p>	
	E	<p>Delivery Instructions:</p> <p>All filings must be postmarked no later than the due date. If the due date falls on a weekend or holiday, the due date is the next business day.</p>	
	F	<p>Late Filings:</p> <p>Fraternal will be fined \$100 per day for late filing of the Annual Statement.</p>	

G	<p>Original Signatures:</p> <p>Original signatures are required on all filings from domestic companies. Foreign companies should follow the NAIC Annual Statement Instructions.</p>	
H	<p>Signature/Notarization/Certification:</p> <p>The President or Vice President and Secretary or Actuary are required to file the Annual Statement. Must be notarized.</p>	
I	<p>Amended Filings:</p> <p>Amended Annual Statements must be properly bound and mailed along with an explanation of the Amendments to: 201 Monroe Street, Suite 1700, Montgomery, AL 36104.</p>	
J	<p>Exceptions from normal filings:</p> <p>Annual Statements: An extension of up to 30 days can be granted only if the request is made in writing and good cause is shown. Foreign companies must furnish a copy home state approval, along with their written request.</p> <p>Audited Financial Statements: Requests for extension, exemption and to file on a consolidated basis must be made in writing at least 10 days prior to the due date.</p>	
K	<p>Bar Codes (State or NAIC)</p> <p>The NAIC Annual Statement Instructions should be followed.</p>	
L	<p>Affidavit of Filing and Financial Statement Attestation</p> <p>This state waives foreign insurers from filing printed quarterly statements and supplements. The Affidavit of Filing is not required. Foreign insurers still must file the printed annual statement.</p>	
M	<p>NONE Filings:</p> <p>The NAIC Annual Statement Instructions should be followed.</p>	
N	<p>Filings new, discontinued or modified materially since last year:</p> <p>No filings have been discontinued since last year.</p>	
O	<p>Domestic companies should mail the Quarterly Financial Statement, MDA, Supplement filings made after 3/1, and Audited Financial Statements to the Alabama Department of Insurance, 201 Monroe Street, Suite 1700, Montgomery, AL 36104.</p>	
P	<p>Foreign insurers should attach the Certificates to the Annual Statements which are sent to the address in Note B. Certificates which are filed after the Annual Statement filing should be mailed to the Alabama Department of Insurance, 201 Monroe Street, Suite 1700, Montgomery, AL 36104.</p>	

	Q	<p>SVO Compliance Certification:</p> <p>Domestic and Foreign insurers should file this with the annual statements which are sent to the address in Note B. Domestic insurers should file this with the quarterly statements which are sent to the address in Note O. Foreign insurers are not required to file this certification quarterly since they do not file quarterly statements.</p>	

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The *Annual Statement Electronic Filing* includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investments schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is .pdf files for annual statement data, detail for investment schedules and supplements due March 1.

The *Separate Accounts Electronic Filing* includes the separate accounts annual statement and investment schedule detail.

The *Separate Accounts .PDF Filing* is the .pdf file for the separate accounts annual statement and investment schedule detail.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplemental .PDF Filing* is the .pdf file for all supplements due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly .PDF Filing* is the .pdf for quarterly statement data.

The *June .PDF Filing* is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (E) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: “NAIC,” “State,” or “Company.” If this column contains “NAIC,” the company must obtain the forms from the appropriate vendor. If this column contains “State,” the state will provide the forms with the filing instructions (generally, on its website). If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*..

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.